



## THE SEVENTH FRAMEWORK PROGRAMME

The Seventh Framework Programme focuses on Community activities in the field of research, technological development and demonstration (RTD) for the period 2007 to 2013

# GUIDE FOR APPLICANTS

participating in a competitive call for additional beneficiaries in an ICT Integrated Project or Network of excellence

**Additional beneficiaries in the ICT Project  
Number 258365  
Acronym OFELIA**

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# **GUIDE FOR APPLICANTS**

## **for the selection of additional beneficiaries in an ICT Integrated Project or Network of excellence**

### **1. Introduction**

The participants in the consortium managing an Integrated project or Network of excellence funded by the *Seventh Framework programme of the European Community for research, technological development and demonstration activities contributing to the creation of the European research area and to innovation (2007-2013)* can, during their initial grant agreement negotiation with the Commission, reserve a portion of the project budget for specific tasks to be carried out by a new beneficiary or beneficiaries which will join the consortium at a later date. These later-joining beneficiaries are selected by means of a competitive call.

This **Guide for applicants** contains the basic information needed to guide you in preparing a proposal to join an existing ICT project which has launched such a competitive call. It gives instructions on how to structure your proposal. It also describes how the proposal should be submitted, and the criteria on which it will be evaluated.

Conditions of participation and funding are those of the Seventh Framework programme, as defined principally in *Regulation (EC) No 1906/2006 of the European Parliament and of the Council of 18 December 2006 laying down the rules for the participation of undertakings, research centres and universities in actions under the Seventh Framework Programme and for the dissemination of research results (2007-2013)*. This can be found at [http://cordis.europa.eu/fp7/find-doc\\_en.html](http://cordis.europa.eu/fp7/find-doc_en.html) in the document "EC Rules for participation".

The proposer which is selected to join the consortium will be required to accede to the existing grant agreement; a model example of which can also be found at the above website ("Standard model grant agreement"). It will also be required to sign the existing consortium agreement, an internal project document concerning the relations between the partners.

**This Guide for applicants does not supersede the rules and conditions laid out, in particular, in Council and Parliament Decisions relevant to the Seventh Framework Programme**

### **1.2 Funding of participation**

Participation as a beneficiary in an FP7 project is on a cost-shared basis, the Commission making only a partial contribution to the total cost of the work.

The following may receive EU funding in an FP7 project:

- Any legal entity established in a Member State or an FP7 Associated country<sup>1</sup> (including the European Commission's Joint Research Centre), or created under Community law (e.g. a European Economic Interest Grouping),
- Any international European interest organisation
- Any legal entity established in an FP7 International Cooperation Partner Country (ICPC). A complete list of these countries is given in annex 1 of the ICT Workprogramme<sup>2</sup>, but in principle it includes the developing countries of Africa, Asia and Latin America, as well as those European countries which are not already Member states or Associated countries.

Organisations from certain other countries may also receive a Community financial contribution, as defined in the Rules of Participation in FP7.

Fuller details of the Commission's funding arrangements can be found at [http://cordis.europa.eu/fp7/find-doc\\_en.html](http://cordis.europa.eu/fp7/find-doc_en.html) in the document "Guide to Financial Issues".

## **2. How to prepare and submit a proposal**

### ***2.1 One stage submission***

Proposals for selection as an additional beneficiary in an ICT project are submitted in a single stage, by submitting a complete proposal application which is prepared as described in Annex 1 of this document.

Existing participants in the ICT project may not respond to this call.

### ***2.2 Proposal language***

The proposal must be prepared in the working language of the ICT project which you wish to join. This is identified in the Call announcement which the project published. Proposals submitted in any other language will not be evaluated.

### ***2.3 Submission of proposals***

Proposals must be submitted electronically in PDF format to the address given in the call announcement.

If you discover an error in your proposal, and provided the call deadline has not passed, you may submit a new version. Only the last version received before the call deadline will be considered in the evaluation.

Proposals must be received by the closing time and date of the call. Late proposals, or proposals submitted to any other address or by any other means than email, will not be evaluated.

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<sup>1</sup> The FP7 Associated countries are Albania, Bosnia and Herzegovina, Croatia, FYR Macedonia, Iceland, Israel, Liechtenstein, Montenegro, Norway, Serbia, Switzerland, Turkey.

<sup>2</sup> Obtainable at <http://cordis.europa.eu/fp7/ict/>

**Do not wait until the last minute to submit your proposal. Failure of your proposal to arrive in time for any reason, including communications delays, is not acceptable as an extenuating circumstance. The time of receipt of your message as recorded by the email system will be definitive**

## ***2.4 Acknowledgement of receipt***

You should request a delivery receipt for your email (For example, in Microsoft Outlook select this under View/Options)

As soon as possible after the close of call, an Acknowledgment of receipt will be emailed to you by the ICT project. The sending of an Acknowledgement of receipt does not imply that your proposal has been accepted as eligible for evaluation.

## **3. Proposal evaluation and selection**

The ICT project will evaluate proposals received in the light of the criteria that governed the Commission's original evaluation and selection of their project, using the form shown in Annex 2 of this document and with the assistance of at least two experts who are independent of any member of the consortium and of any proposer. The experts will be individuals from the fields of science, industry and/or with experience in the field of innovation and also with the highest level of knowledge, and who are internationally recognised authorities in the relevant specialist area.

Each independent expert will record his/her individual opinion of each proposal on the attached form. They will then meet or communicate together to prepare a "consensus" form for each proposal. Using the results given on the consensus form, the consortium will normally select the proposal with the highest overall score.

However, the ICT project is not obliged to select the highest scoring proposal where it has objective grounds, for example commercial competition. In this case the choice may pass to the next-ranked proposal.

Also the ICT project may conclude that even the highest scoring proposal is of inadequate quality, in which case it will make no selection. In the event of no selection being made, the project may or may not re-open the call at a later date.

## **4. Support to proposers**

### ***4.1 Call Helpdesk***

For further information on the call, contact our help-desk email: [opencalls@fp7-ofelia.eu](mailto:opencalls@fp7-ofelia.eu)

Or directly the Co-ordinator:

**Name:** Hagen Woesner

**email:** [hagen.woesner@eict.de](mailto:hagen.woesner@eict.de)

**tel:** +49 160 7862096

#### ***4.2 National Contact Points***

The ICT Theme supports a network of National Contact Points (NCPs), which can be helpful to organisations from their country both in general advice and particularly on preparing proposals. Organisations should contact the NCP of their own country for further information. [http://cordis.europa.eu/fp7/ict/neps\\_en.html](http://cordis.europa.eu/fp7/ict/neps_en.html) .

#### ***4.3 The Intellectual Property Rights Helpdesk***

The IPR-Helpdesk has as its main objective to assist potential and current beneficiaries taking part in Community funded projects on Intellectual Property Rights issues, and in particular on Community diffusion and protection rules and issues relating to IPR in international projects. <http://www.ipr-helpdesk.org>

## **Annex 1 – Proposal format**

### **Proposals must be submitted:**

**as a single file in PDF format  
in the language stated in the call announcement  
to the address given in the call announcement (request a delivery receipt)  
before the date and time given as the call deadline in the call announcement  
with, as the subject line of your message, "Competitive call – OFELIA "**

### **Front page**

Full title of the existing project you wish to join  
Acronym of the existing project  
Grant agreement number of existing project  
Type of instrument (Integrated project/Network of excellence)

Date of preparation of your proposal  
Version number (*optional*)

Your organisation name  
Your organisation address  
Name of the coordinating person  
Coordinator telephone number  
Coordinator email

**Email address to which the Acknowledgement of Receipt should be sent:**

*(insert)*

### **Proposal abstract**

*(maximum 2000 character summary of your proposed work)*

### **Contents page**

*(Show contents list)*

## Cost and funding breakdown

Please show your figures in euros (not thousands of euros)

	<b>RTD</b>	<b>Demonstration</b>	<b>Other</b>	<b>Management</b>	<b>Total</b>
1. Personnel costs					
2. Other direct costs					
3. Total direct costs (Sum of row 1 and 2)					
4. Indirect costs					
5. Total costs (Sum of row 3 and 4)					
6. Requested EC contribution					

In row 1, insert your personnel costs for the work involved, differentiating between:

**RTD activities:** activities directly aimed at creating new knowledge, new technology, and products including scientific coordination.

**Demonstration activities:** activities designed to prove the viability of new technologies that offer a potential economic advantage, but which cannot be commercialised directly (e.g. testing of product like prototypes).

**Other activities:** any specific activities not covered by the above mentioned types of activity such as training, coordination, networking and dissemination (including publications). These activities should be specified later in the proposal.

**Management activities** include the maintenance of the consortium agreement, if it is obligatory, the overall legal, ethical, financial and administrative management including for each of the participants obtaining the certificates on the financial statements or on the methodology, the implementation of competitive calls by the consortium for the participation of new participants and, any other management activities foreseen in the proposal except coordination of research and technological development activities

In row 2, insert any other direct costs, for example equipment or travel costs.

In row 3, calculate the sum of your personnel and other direct costs

In row 4, insert your indirect (overhead) costs.

**Indirect costs** are all those eligible costs which cannot be identified by the participant as being directly attributed to the project but which can be identified and justified by its accounting system as being incurred in direct relationship with the eligible direct costs attributed to the project

You may use your actual overhead costs if this is possible within your organisation's accounting system. If not, you may use a calculated figure of 20% of the sum in row 3. If you are a non-profit public body, a research organisation, a secondary or higher education establishment or a small or medium enterprise, you may use a calculated figure of 60% of the sum in row 3.

In row 5, calculate the sum of your direct and indirect costs.

In row 6, insert your requested EC contribution

**RTD activities:** you may request up to 50% of the total cost figure. If you are a non-profit public body, a research organisation, a secondary or higher education establishment or a small or medium enterprise, you may request up to 75% funding.

**Demonstration:** you may request up to 50% funding

**Other, Management:** you may request up to 100% funding

Note: If you are successful in the evaluation, your final costs and funding estimates agreed with the ICT project will also be subject to legal and financial verification by the Commission services



## **Section 1: Scientific and/or technical quality, relevant to the topics addressed by the call**

### **1.1 Concept and objectives**

Describe in detail the S&T objectives of your proposed action. Show how they relate to the topic(s) addressed by the competitive call. These objectives should be those achievable within your proposed action, not through subsequent development. They should be stated in a measurable and verifiable form.

### **1.2 S/T methodology and associated work plan**

A detailed work plan should be presented, broken down into work packages<sup>3</sup> (WPs) which should follow the logical phases of the implementation of your work, and include management and assessment of progress and results.

Please present your plans as follows:

- i) Describe the overall strategy of the work plan
- ii) Show the timing of the different WPs and their components (Gantt chart or similar).
- iii) Provide a detailed work description broken down into work packages:
  - Work package list (please use table 1.2a);
  - Description of each work package (please use table 1.2b)
  - Deliverables list (please use table 1.2c);
- iv) Provide a graphical presentation of the components showing their interdependencies (Pert diagram or similar)
- v) Describe any significant risks, and associated contingency plans

Note: The number of work packages used must be appropriate to the complexity of the work, a small action with very specific goals could consist of one work package only. The planning should be sufficiently detailed to justify the proposed effort and allow progress monitoring by the ICT project coordinator.

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<sup>3</sup> A work package is a major sub-division of the proposed work with a verifiable end-point - normally a deliverable or a milestone in the overall action.



Table 1.2b: Template - Work package description

**Work package description**

<b>Work package number</b>		<b>Start date or starting event:</b>	
<b>Work package title</b>			
<b>Activity type<sup>8</sup></b>			

**Objectives**

**Description of work** (possibly broken down into tasks)

**Deliverables** (brief description) and month of delivery

**Total effort (person months) -**

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<sup>8</sup> Please indicate one activity per work package:

RTD = Research and technological development; DEM = Demonstration; MGT = Management of the consortium; OTHER = Other specific activities, if applicable in this call, including any activities to prepare for the dissemination and/or exploitation of project results, and coordination activities.

Table 1.2c: Template - Deliverables List

### List of Deliverables

Del. no. <sup>9</sup>	Deliverable name	WP no.	Nature <sup>10</sup>	Dissemination level <sup>11</sup>	Delivery date <sup>12</sup> (proj. month)

<sup>9</sup> Deliverable numbers in order of delivery dates. Please use the numbering convention <WP number>.<number of deliverable within that WP>. For example, deliverable 4.2 would be the second deliverable from work package 4.

<sup>10</sup> Please indicate the nature of the deliverable using one of the following codes:

**R** = Report, **P** = Prototype, **D** = Demonstrator, **O** = Other

<sup>11</sup> Please indicate the dissemination level using one of the following codes:

**PU** = Public

**PP** = Restricted to other programme participants (including the Commission Services).

**RE** = Restricted to a group specified by the consortium (including the Commission Services).

**CO** = Confidential, only for members of the consortium (including the Commission Services).

<sup>12</sup> Measured in months from your action start date (month 1).

## **Section 2. Implementation**

### **2.2 Participant**

Provide a brief description of your organisation, and your previous experience relevant to the tasks you will undertake in this action. Provide also a short profile of the main individuals who will be undertaking the work.

### **2.4 Resources to be committed**

Describe how the totality of the necessary resources will be mobilised, including any resources that will complement the EC contribution. Show how the resources will be integrated in a coherent way, and show how your overall financial plan for the action is adequate.

Please identify any major non-personnel direct costs and explain why they are necessary for the activity you propose.

## **Section 3. Impact**

### **3.1 Expected impact**

Describe how your activity will contribute towards the expected impact of the ICT project. Mention the steps that will be needed to bring about these impacts. Mention any assumptions and external factors that may determine whether the impacts will be achieved.

### **3.2 Dissemination and/or exploitation of results, and management of intellectual property**

Describe the measures you propose for the dissemination and/or exploitation of the results of your action, first within the ICT project and then show how your contribution will increase the impact of the project as a whole.

If appropriate, describe your plans for the management of knowledge (intellectual property) acquired in the course of the action.

## **Section 4. Ethical Issues**

Describe any ethical issues that may arise in the action.

**Annex 2 – Evaluation form**  
**Individual evaluation/Consensus**

<b>Proposal No. :</b>	<b>Acronym :</b>
<p><b>1. Scientific and/or technological excellence (relevant to the topics addressed by the call)</b>  <i>Note: when a proposal only <b>partially addresses the topics</b>, this condition will be reflected in the scoring of this criterion</i></p>	<p><b>Score:</b>  <i>(Threshold 3/5; Weight 1)</i></p>
<p><b>2. Quality and efficiency of the implementation and the management</b></p>	<p><b>Score:</b>  <i>(Threshold 3/5; Weight 1)</i></p> <p><i>For the purposes of any subsequent negotiation, an above-threshold score for this criterion is regarded as an indication that the proposer(s) has the operational capacity to carry out the work</i></p>

*0 The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information; 1 Poor The criterion is addressed in an inadequate manner, or there are serious inherent weaknesses; 2 Fair While the proposal broadly addresses the criterion, there are significant weaknesses; 3 Good The proposal addresses the criterion well, although improvements would be necessary; 4 Very good The proposal addresses the criterion very well, although certain improvements are still possible; 5 Excellent The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.*

<b>3. Potential impact through the development, dissemination and use of project results</b>	<b>Score:</b> <i>(Threshold 3/5; Weight 1)</i>
<b>Remarks</b>	<b>Overall score:</b> <i>(Threshold 10/15)</i>

Does this proposal contain ethical issues that may need further attention ?	<b>NO</b> <input type="checkbox"/>	<b>YES</b> <input type="checkbox"/>
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**I declare that, to the best of my knowledge, I have no direct or indirect conflict of interest in the evaluation of this proposal**

Name	
Signature	
Date	

Name	
Signature	
Date	

*0 The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information; 1 Poor The criterion is addressed in an inadequate manner, or there are serious inherent weaknesses; 2 Fair While the proposal broadly addresses the criterion, there are significant weaknesses; 3 Good The proposal addresses the criterion well, although improvements would be necessary; 4 Very good The proposal addresses the criterion very well, although certain improvements are still possible; 5 Excellent The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.*